



**Sterne Kessler
Goldstein Fox**
ATTORNEYS AT LAW



Robert Greene Sterne
Edward J. Kessler
Joseph A. Goldstein
David K.S. Cornwell
Robert W. Esmond
Tracy-Gene G. Durkin
Michele A. Cimballa
Michael B. Ray
Robert E. Sokohl
Eric K. Steffe
Michael Q. Lee
Steven R. Ludwig
John M. Covert
Linda E. Alcorn
Robert C. Millonig
Lawrence B. Bugalsky
Donald J. Featherstone
Michael V. Messinger

Judith U. Kim
Timothy J. Shea, Jr.
Patrick E. Garrett
Jeffrey T. Helvey
Heidi L. Kraus
Albert L. Ferro*
Donald R. Banowitz
Peter A. Jackman
Teresa U. Medler
Jeffrey S. Weaver
Kendrick P. Patterson
Vincent L. Capuano
Eldora Ellison Floyd
Thomas C. Fiala
Brian J. Del Buono
Virgil Lee Beaton
Theodore A. Wood
Elizabeth J. Haanes

Joseph S. Ostroff
Frank R. Cottingham
Christine M. Lhulier
Rae Lynn P. Guest
George S. Bardmeyer
Daniel A. Klein*
Jason D. Eisenberg
Michael D. Specht
Andrea J. Kamage
Tracy L. Muller*
LuAnne M. DeSantis
Ann E. Summerfield
Aric W. Ledford*
Helene C. Carlson
Timothy A. Doyle*
Gaby L. Longworth
Lori A. Gordon*
Nicole D. Dretar*

Ted J. Ebersole
Jyoti C. Iyer*
Laura A. Vogel

Registered Patent Agents*
Karen R. Markowicz
Nancy J. Leith
Matthew J. Dowd
Aaron L. Schwartz
Katrina Yujian Pei Quach
Bryan L. Skelton
Robert A. Schwartzman
Teresa A. Colella
Jeffrey S. Lundgren
Victoria S. Rutherford
Michelle K. Holoubek
Robert H. DeSelms
Simon J. Elliott

Julie A. Heider
Mita Mukherjee
Scott M. Woodhouse
Michael G. Penn
Christopher J. Walsh

Of Counsel
Kenneth C. Bass III
Evan R. Smith
Marvin C. Guthrie

*Admitted only in Maryland
*Admitted only in Virginia
*Practice Limited to
Federal Agencies

August 24, 2004

WRITER'S DIRECT NUMBER:

(202) 772-8674

INTERNET ADDRESS:

MLEE@SKGF.COM

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Re: U.S. Utility Patent Application
Appl. No. 09/404,597; Filed: September 24, 1999
For: **Optimized Rule Based Constraints for Collaborative Filtering
Systems**
Inventors: Rauser *et al.*
Our Ref: 07744.0009 (2222.0870000)

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Revocation of Prior Power of Attorney and Appointment of New Attorneys of Record;
2. Statement Under 37 C.F.R. 3.73(b);
3. Change of Correspondence Address;
4. Request for Change of Attorney Docket Number; and
5. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Michael Q. Lee
Attorney for Patentees
Registration No. 35,239

MQL/LAG/lam
Enclosures

284939.1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Rauser *et al.*

Appl. No. 09/404,597

Filed: September 24, 1999

For: **Optimized Rule Based Constraints
for Collaborative Filtering Systems**

Confirmation No.: 8566

Art Unit: 2177

Examiner: Luke S. Wassum

Atty. Docket: 07744.0009 (2222.0870000)

**Revocation of Prior Power of Attorney and
Appointment of New Attorneys of Record**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The undersigned, having express authority to represent Thalgveg Data Flow LLC, the assignee of the entire right, title, and interest in the above-captioned application, by assignment filed at the U.S. Patent and Trademark Office on June 25, 2004 (copy enclosed), hereby revokes all powers of attorney heretofore given in the above-captioned application and appoints as his attorneys the attorneys associated with Customer Number 28393, those attorneys currently being: Robert Greene Sterne, Esq., Registration No. 28,912; Edward J. Kessler, Esq., Registration No. 25,688; Jorge A. Goldstein, Esq., Registration No. 29,021; David K.S. Cornwell, Esq., Registration No. 31,944; Robert W. Esmond, Esq., Registration No. 32,893; Tracy-Gene G. Durkin, Esq., Registration No. 32,831; Michele A. Cimbala, Esq., Registration No. 33,851; Michael B. Ray, Esq., Registration No. 33,997; Robert E. Sokohl, Esq., Registration No. 36,013; Eric K. Steffe, Esq., Registration No. 36,688; Michael Q. Lee, Esq., Registration No. 35,239; Steven R. Ludwig, Esq., Registration No. 36,203; John M. Covert, Esq., Registration No. 38,759; Linda E. Alcorn, Esq., Registration No. 39,588; Lawrence B. Bugaisky, Esq., Registration No. 35,086; Donald J. Featherstone, Esq., Registration No. 33,876; Robert C. Millonig, Esq., Registration No. 34,395; Michael V. Messinger, Esq., Registration No. 37,575; Judith U. Kim, Esq., Registration No. 40,679; Timothy J. Shea, Jr., Esq., Registration No. 41,306; Patrick E. Garrett, Esq., Registration No. 39,987; with full power of substitution, association, and revocation, to prosecute said application and to transact all business in the United States Patent and Trademark Office connected therewith.

BEST AVAILABLE COPY

- 2 -

Rauser *et al.*
Appl. No.: 09/404,597

For the purpose of PAIR, the Customer Number is 26111.

The undersigned hereby grants said attorneys the power to insert on this Power of Attorney any further identification that may be necessary or desirable in order to comply with the rules of the U.S. Patent and Trademark Office.

Send all correspondence to:

Customer Number 26111
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.
1100 New York Avenue, N.W.
Washington, D.C. 20005-3934.

Direct telephone calls to (202) 371-2600.

FOR: Thalveg Data Flow LLC

SIGNATURE: 

BY: JULIA CEFFALO

TITLE: AUTHORIZED PERSON

DATE: 23 AUGUST 2004

Exhibit B**ASSIGNMENT OF PATENT RIGHTS**

For good and valuable consideration, the receipt of which is hereby acknowledged, Net Perceptions, Inc., a Delaware corporation, having offices at Edina, Minnesota ("Assignor"), does hereby sell, assign, transfer and convey unto Thales Data Flow LLC a Delaware Corporation, having an office at 171 Main St. #271, Los Altos, CA 94022 ("Assignee") or its designees, all of Assignor's right, title and interest in and to the patent applications and patents listed below, any patents issuing on any patent applications listed below, the inventions claimed in any of the foregoing, any and all counterpart United States, International and foreign patents, applications and certificates of invention based upon or covering any portion of the foregoing and all renewals, divisions, renewals, extensions, provisional, continuations and continuations-in-part of any of the foregoing (collectively "Patent Rights"):

<u>Patent Title and Inventors</u>	<u>Status</u>	<u>Jurisdiction</u>	<u>Registration Application Number</u>	<u>Date Issued/Filed</u>
Metadata-driven data presentation module for database system - Doviak, Popela	Issued	United States	6,308,168	10/23/01
System, method and article of manufacture increasing the user value of recommendations - Bieganski	Issued	United States	6,321,221	11/20/01
System, method and article of manufacture for making serendipity-weighted recommendations to a user - Bieganski, Konstan, Riedl	Issued	United States	6,334,127	12/25/01
System, method and article of manufacture for making a compatibility aware recommendation to a user - Bieganski, Konstan, Riedl, Frankowski	Issued	United States	6,412,012	6/25/02
Optimized rule based constraints for collaborative filtering system - Ransier, Guralnik	Pending	United States	09/404,597	9/24/99
Rule driven recommendation system - Mardoli, Bennett, Guralnik, Lehman, Woollet, Durant	Pending	United States	09/661/436	9/13/00
High performance model-based personalization - Ekhaus, Driskill, Meller	Pending	United States	09/887/528	6/23/00

DO NOT FORWARD
TO ASSIGNMENT BRANCH
NOT FOR RECORDATION

Assignor represents, warrants and covenants that: (i) it is the sole owner, assignee and holder of record title to the Patent Rights identified above, (ii) it has obtained and properly recorded previously executed assignments for all patent applications and patents identified above as necessary to fully perfect its rights and title therein in accordance with governing law and regulations in each respective jurisdiction, and (iii) it has full power and authority to make the present assignment. Assignor shall indemnify and hold harmless Assignee for any breach of the foregoing.

DO NOT FORWARD
TO ASSIGNMENT BRANCH
NOT FOR RECORDATION

Assignor further agrees to and hereby does sell, assign, transfer and convey unto Assignee all rights: (i) in and to causes of action and enforcement rights for the Patent Rights including all rights to pursue damages, injunctive relief and other remedies for past and future infringement of the Patent Rights, and (ii) to apply in any or all countries of the world for patents, certificates of invention or other governmental grants for the Patent Rights, including without limitation under the Paris Convention for the Protection of Industrial Property, the International Patent Cooperation Treaty, or any other convention, treaty, agreement or understanding. Assignor also hereby authorizes the respective patent office or governmental agency in each jurisdiction to issue any and all patents or certificates of invention which may be granted upon any of the Patent Rights in the name of Assignee, as the assignee to the entire interest therein.

Assignor will, at the reasonable request of and at the expense of Assignee, do all things necessary, proper, or advisable, including without limitation the execution, acknowledgment and recordation of specific assignments, oaths, declarations and other documents on a country-by-country basis, to assist Assignee in obtaining, perfecting, sustaining, and/or enforcing the Patent Rights. Such assistance shall include providing, and obtaining from the respective inventors, prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, powers of attorney, specifications, declarations or other papers and other assistance reasonably necessary for filing patent applications, complying with any duty of disclosure, and conducting prosecution, reexamination, reissue, interference or other priority proceedings, opposition proceedings, cancellation proceedings, public use proceedings, infringement or other court actions and the like with respect to the Patent Rights.

The terms and conditions of this Assignment shall inure to the benefit of Assignee, its successors, assigns and other legal representatives, and shall be binding upon Assignor, its successor, assigns and other legal representatives.

IN WITNESS WHEREOF this Assignment of Patent Rights is executed at _____ on Dec.
30, 2003.

ASSIGNOR

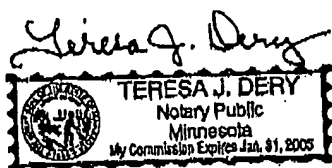
By:

Name:

Thomas Donnelly

(Notarization Required)

Title:

President and CFO

12/30/03

DO NOT FORWARD
TO ASSIGNMENT BRANCH
NOT FOR RECORDATION

DO NOT FORWARD
TO ASSIGNMENT BRANCH
NOT FOR RECORDATION



BEST AVAILABLE COPY

PTO/SB/06 (06-04)
Approved for use through 07/31/2008. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

07744.0009 (2222.0870000)

Applicant/Patent Owner: Rauser et al.

Application No./Patent No.: 09/404,597 Filed/Issue Date: September 24, 1999

Entitled: Optimized Rule Based Constraints for Collaborative Filtering Systems

Thalveg Data Flow LLC, a corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %
In the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

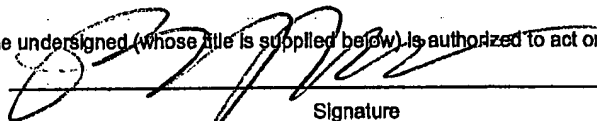
1. From: Rauser et al. To: Net Perceptions, Inc.
The document was recorded in the United States Patent and Trademark Office at
Reel 010387, Frame 0817, or for which a copy thereof is attached.
2. From: Net Perceptions, Inc. To: Thalveg Data Flow LLC
The document was recorded in the United States Patent and Trademark Office at
Reel 014782, Frame 0063, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.


Signature

23 AUGUST 2004
Date

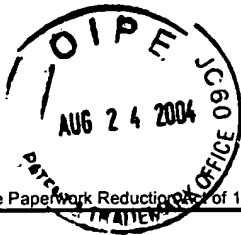
JULIA C. FALCO
Printed or Typed Name

Telephone Number

AUTHORIZED PERSON
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



BEST AVAILABLE COPY

PTO/SB/122 (06-03)

Approved for use through 11/30/2005. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**CHANGE OF
CORRESPONDENCE ADDRESS
Application**

Address to:
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450.

Application Number	09/404,597
Filing Date	September 24, 1999
First Named Inventor	Rauser et al.
Art Unit	2177
Examiner Name	Luke S. Wassum
Attorney Docket Number	07744.0009 (2222.0870000)

Please change the Correspondence Address for the above-identified patent application to:

☒ Customer Number : 26111

OR

☐ Firm or Individual Name Sterne, Kessler, Goldstein & Fox P.L.L.C.

Address

Address

City

State

Zip

Country

Telephone

Fax

This form cannot be used to change the data associated with a Customer Number. To change the data associated with an existing Customer Number use "Request for Customer Number Data Change" (PTO/SB/124).

I am the:

- ☐ Applicant/Inventor
- ☐ Assignee of record of the entire interest.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).
- ☒ Attorney or Agent of record. Registration Number 35,239
- ☐ Registered practitioner named in the application transmittal letter in an application without an executed oath or declaration. See 37 CFR 1.33(a)(1). Registration Number

Typed or Printed Name Michael R. Lee

Signature 

Date 8/24/04

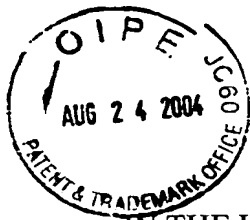
Telephone (202) 371-2600

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of forms are submitted.

This collection of information is required by 37 CFR 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



BEST AVAILABLE COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Rausser *et. al.*

Application No.: 09/404,597

Filed: September 24, 1999

For: **Optimized Rule Based Constraints
for Collaborative Filtering Systems**

Confirmation No.: 8566

Art Unit: 2177

Examiner: Luke S. Wassum

Atty. Docket: 07744.0009 (2222.0870000)

Request for Change of Attorney Docket Number Pleading

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants respectfully request that the attorney docket number for the above-captioned application be changed from "**07744.0009**" to **--2222.0870000--**. Kindly use this attorney docket number in any future correspondence addressed to the undersigned.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Michael Q. Lee
Attorney for Applicants
Registration No. 35,239

Date: 8/24/04

1100 New York Avenue, N.W.
Washington, D.C. 20005-3934
(202) 371-2600